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## OFFICE OF HOMELAND SECURITY

August 29, 2008

Jeff Rubin, Chief  
Emergency Medical Service Authority  
1930 9<sup>th</sup> Street  
Sacramento, Ca. 95814

Monitoring Report #M08-029

Dear Mr. Rubin:

On July 1, 2008 the Office of Homeland Security (OHS), Monitoring and Audits Unit, Program Monitor, Jennifer Kolbe conducted a monitoring desk review for the purpose of monitoring Homeland Security Grant Programs. I wish to thank you and your staff for the courtesy extended to Ms. Kolbe during the review process. Enclosed, you will find the monitoring report for the following grant:

GRANT	PROGRAM NAME	PERIOD MONITORED
2004-0045	FY04 Homeland Security Grant Program (HSGP)	12/01/03 to 08/29/08

The monitoring included a review of staffing needs, operational practices, source documentation, activities, and data reporting requirements. In addition, the monitor examined the grant for compliance with federal financial, administrative and auditing requirements, program guidelines, and other mandates as applicable. Finally, the monitor performed a selected review of accounting records that support the amounts claimed in your reimbursement requests. Project expenditures were validated to provide reasonable assurance that expenses are related to the grant, proper records are maintained, and expenditures are properly authorized and recorded.

As a reminder, the purpose of monitoring is to assist projects in the achievement of their goals and aiding them in administering their grant funds in the most effective and efficient manner. The monitoring is used as a tool to assist the subgrantee in complying with these requirements. Your OHS Program Representative will receive a copy of the monitoring report. Their name and phone number are identified on the face sheet of the report.

If the monitoring report does not identify any findings, a Corrective Action Plan is not necessary and the monitoring process is complete. **If any findings are identified in the monitoring report, you will have 120 days from the last day of the monitoring review to submit a Correction Action Plan to the Program Monitor.**

The corrective action process provides two options:

**Option One – The subgrantee self certifies by the submission of an Action Plan that details the corrective steps implemented, and that any finding(s) noted in the monitoring report are resolved.**

**Option Two – Submission of an outlined Corrective Action Plan that addresses the findings noted in this report to be reviewed and approved by OHS program staff (i.e. technical assistance).**

When corresponding to our office regarding this monitoring report, please include the monitoring control number on all correspondence. Send your response to:

Governor's Office of Homeland Security  
Grants Administrative Section  
Monitoring & Audits Unit  
State Capitol  
Sacramento, California 95814

Thank you for your participation in the monitoring process. If you have any questions regarding this letter or the attached report, please feel free to contact Ms. Kolbe at (916) 324-6118.

Sincerely,



Brendan Murphy  
Deputy Director  
Office of Homeland Security

Attachment

cc: Sarah Knight, Program Representative  
Monitoring & Audits Unit, chron file  
Grants Management Unit, grant file

Monitoring Report Response Form

TO: Governor's Office of Homeland Security  Grants Management Section Monitoring & Audits Unit State Capitol Sacramento, CA 95814  Attention: Jennifer Kolbe Program Monitor	Grant Numbers: <u>2004-0045</u>  Monitoring Control # M08-029 Number: _____  Response Due: <u>09/29/08</u>
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FROM: Subgrantee: Emergency Medical Service Authority

**Option One**

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I have reviewed and acknowledge receipt of the above referenced monitoring report.

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Typed Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Telephone Number





# CALIFORNIA GOVERNOR'S OFFICE OF HOMELAND SECURITY MONITORING NARRATIVE REPORT

GRANT/FIPS NUMBER	PROGRAM NAME	PERIOD MONITORED	MONITORED AMOUNT
2004-0045-037-30000	FY04 Homeland Security Grant Program (HSGP)	12/01/03 to 07/01/08	\$311,000

## Emergency Medical Service Authority

<b>AUTHORIZED AGENT:</b>	Jeff Rubin	<b>ADDRESS:</b>	1930 9 <sup>th</sup> Street Sacramento, Ca. 95814
<b>CONTACT EMAIL:</b>	jrubin@emsa.ca.gov		
<b>CONTACT PHONENUMBER:</b>	(916) 322-4336 x419		
<b>ALTERNATE POINT of CONTACT:</b>	Rick Trussell		
<b>CONTACT EMAIL:</b>	rick.trussell@emsa.ca.gov		
<b>PROGRAM REPRESENTATIVE:</b>	Sarah Knight	<b>E-mail:</b>	sarah.knight@ohs.ca.gov
<b>PHONE NUMBER:</b>	(916)322-9067		
<b>PROGRAM MONITOR:</b>	Jennifer Kolbe	<b>E-mail:</b>	jennifer.kolbe@ohs.ca.gov
<b>PHONE NUMBER:</b>	(916)324-6118	<b>DATE OF MONITORING:</b>	July 1, 2008

## PERSONS INTERVIEWED DURING MONITORING VISIT

NAME	TITLE	AGENCY
Jeff Rubin	Chief	Emergency Medical Service Authority
Rick Trussell	Budget Officer	Emergency Medical Service Authority

Prepared by:

Jennifer Kolbe, Program Monitor, OHS Administration Division, Monitoring &amp; Audits Unit

Date

8-29-08

9/12/08

Approved by:

Brendan Murphy, Deputy Director, OHS Administration Division, Monitoring &amp; Audits Unit

Date

Monitoring Date: July 1, 2008

## Monitoring Report

Monitoring Report Summary	Total # of Items in Category	In Compliance	Not in Compliance	Not Monitored	Not Applicable	Total
<b>A. Administrative Review</b>						
Review of Audit Reports	2				2	2
Grant Assurances	1	1				1
Grant Approval Notification	2	1			1	2
Performance Reports	1	1				1
Homeland Security Strategies	1	1				1
Publication of Published Materials	1				1	1
<b>B. Programmatic Review</b>						
Program Goals and Objectives	2				2	2
Exercise	2				2	2
Training	1				1	1
Planning	1				1	1
<b>C. Financial Management</b>						
Accounting System	8	8				8
Distribution of Funds	1				1	1
Advance of Funds	2				2	2
Change Requests/Modifications	2	2				2
Maintenance of Records	1				1	1
<b>D. Fiscal: Personnel Services</b>						
Management and Administrative Services	3				3	3
Overtime/Back Fill	3				3	3
<b>E. Fiscal: Procurement</b>						
Responsibility	1	1				1
Methods of Procurement	4	4				4
<b>F. Fiscal: Equipment &amp; Property Management</b>						
Equipment Purchases	3	3				3
Property Management & Records Keeping	2	2				2
<b>G. Subgrantee Monitoring &amp; Oversight</b>						
Subrecipient single audit requirements	1				1	1
Management and Administrative Responsibility	1				1	1
Overtime/Backfill/CTO Responsibility	1				1	1
Procurement Responsibility	1				1	1
Equipment & Property Management Responsibility	1				1	1
<b>Total</b>	<b>49</b>	<b>24</b>	<b>0</b>	<b>0</b>	<b>25</b>	<b>49</b>

## Monitoring Report

### PROGRAM SUMMARY

**Corrective Action Plan:** Not Required.

### MONITORING REPORT DETAIL

- A. Administrative Review:** Subgrantee in compliance (4 items); Not applicable for Subgrantee (4 items).
1. **Review of Audit Report:** Not applicable for Subgrantee (2 items).
  2. **Grant Assurances:** Subgrantee in compliance (1 item).
  3. **Grant Approval Notification:** Subgrantee in compliance (1 item); Not applicable for Subgrantee (1 item).
    - a. Maintain required records Subgrantee in compliance (1 item).
    - b. Conditions Rectified: Not applicable for Subgrantee (1 item).
  4. **Performance Reports:** Subgrantee in compliance (1 item).
  5. **Homeland Security Strategies:** Subgrantee in compliance (1 item).
  6. **Publication of Materials:** Not applicable for Subgrantee (1 item).
- B. Programmatic Review:** Not applicable for Subgrantee (6 items).
- C. Financial Management:** Subgrantee in compliance (10 items); Not applicable for Subgrantee. (4 items).
1. **Accounting System:** Subgrantee in compliance (8 items).
  2. **Distribution of Funds:** Not applicable for Subgrantee (1 item).
  3. **Advance of Funds:** Not applicable for Subgrantee (2 items).
  4. **Change Request/Modifications:** Subgrantee in compliance (2 items).
  5. **Records Maintenance:** Not applicable for Subgrantee (1 item).

## Monitoring Report

- D. **Fiscal: Personnel Services:** Subgrantee in compliance (3 items); Not applicable for Subgrantee (3 items).
  - 1. **Management and Administrative Services:** Subgrantee in compliance (3 items).
  - 2. **Overtime/Backfill and/or CTO:** Not applicable to Subgrantee (3 item).
- E. **Fiscal: Procurement:** Subgrantee in compliance (5 items).
- F. **Fiscal: Equipment & Property Management:** Subgrantee in compliance (5 items).
  - 1. **Equipment Purchases:** Subgrantee in compliance (3 items).
  - 2. **Property and Records Keeping:** Subgrantee in compliance (2 items).
- G. **Subgrantee Monitoring & Oversight:** Not applicable for Subgrantee (5 items).